

5063

4 MAY 1981

MEMORANDUM FOR: Deputy Director of Central Intelligence

FROM : Harry E. Fitzwater
Director of Personnel Policy,
Planning, and Management

SUBJECT : Personnel Planning

1. Action Requested: Paragraph 4 of this memorandum requests information from you.

2. Background: At the 15 April Executive Committee meeting you decided that the Annual Personnel Plan and Annual Personnel Report have outlived their utility and should be discontinued in their present form. You also tasked my Office and the Executive Committee Staff with developing alternative ways to accomplish the objective of effective personnel planning and to assist the DDCI/DCI in "getting a handle on" the Agency's personnel management system. At the same meeting you commented that you would provide the areas of your interest.

3. Staff Position:

a. I plan to convene a senior working group to address the topic of personnel planning and will report back to you and the Executive Committee on alternatives to accomplish your objectives. I believe a system can be developed that while not requiring the inordinate use of resources will be useful and tailored to your needs. A major problem is determining the standard or goal against which to measure progress. My staff can provide statistical reporting for monitoring purposes but the setting of the standard or goal will need to be a managerial decision. We can provide target figures against which standards or goals can be set.

b. Knowing the personnel management areas that you wish to monitor will be helpful in developing this planning system. For your consideration, I suggest planning in the following areas.

° Promotions. To insure consistency and equity Agency-wide, the rates of promotions and the ages and grade profile of those promoted can be monitored.

° EEO Progress. Monitoring the hiring rate of women and minorities and the use of upward mobility programs can provide an indicator of EEO success.

° Rotational Assignments. Monitoring this aspect of the Senior Officer Development Program will provide an indicator of successful development of potential senior officers.

° Recruitment. Reporting can be provided that will keep you advised as to the mix and quality of the recruitment effort.

° Performance Appraisals. Reporting can be provided on the average rating of employees on the numbers and disposition of counseling cases.

° Awards and Quality Step Increases. Monitoring of these programs can provide indicators of the amount of special recognition afforded superior performers.

° Strength. Reporting on the Agency's on-duty strength and with projections of hires and losses will provide an indicator of success in attaining ceiling strength.

4. If there are other areas that you are interested in monitoring, we will add them to the above list.

Harry E. Fitzwater

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Distribution:

Orig - Return to D/PPPM

1 - DDCI

1 - ER

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Personnel PlanningI. Topic

Establish a personnel planning system that centers on problems and policies in the broadest terms. The objective is to identify problems and then the policies and plans to deal with them. The goal is to relate achievement to the accomplishment of an objective.

II. Concept

A. Personnel planning involves five distinct phases. These are:

- ° issue identification;
- ° plan to address;
- ° development of specific targets or goals;
- ° measuring success; and,
- ° review.

B. Issue identification is the determination of the basic personnel problems and policy questions that must be faced. This can be accomplished in the following manner.

1. The means of determining the issues can be developed from the following sources:

- ° Perceived needs and problems as identified by senior managers, employee groups, oversight committee questions, etc. These needs or problems can be analyzed by the Office of Personnel (OP) to determine validity for Agency-wide attention; if the impact is restricted to a smaller segment of the Agency and should be addressed by component managers only; or, if there is no issue involved.

- ° Conclusions from OP program evaluations that assess Agency-wide programs identifying issues needing attention. Examples are the PAR survey which identifies the need for additional appraised training on the part

ranking the low three percent of employees is no longer required.

- ° Data analysis by OP from the Personnel Data Base can provide indicators of issues needing attention. Areas that can be monitored are occupation mix, personnel flow, performance appraisal ratings, the rate of special recognition afforded superior performers, etc.

- ° Analysis by OP of personnel needs derived from the Program Call can provide indicators of issues in the occupation mix and recruitment areas. OP can provide the basic information from which components can indicate their personnel needs on a three-year basis similar to the manner in which they indicate their financial needs. This will afford OP the opportunity to give more effort to recruitment planning.

- ° Discussions by OP with selected managers and personnel specialists to ascertain the importance of and need to examine selected issues.

- ° Questionnaires can be prepared by OP that sample the Agency population in order to ascertain what a selected group of employees believe are the major personnel issues facing the Agency. Care would have to be exerted in developing the questionnaire and in selecting the sample in order to avoid false conclusions or expectations.

- ° The OEE0-developed Affirmative Action Plan can be analyzed by OP to determine issues that require senior management attention.

2. The roles and responsibilities in issue identification would be as follows:

- ° Deputy Directors and other senior managers as issue identifiers to OP.

- ° OP as the administration point to receive issues, collect data from sources such as the Comptroller and the OEE0, perform data analysis and assess the issue prior to EXCOM meeting on the subject.

- ° Personnel Management Advisory Board (PMAB) as an advisory body to the Director of Personnel on issues.

- ° EXCOM as an advisory body to the DDCI and to prioritize issues in order of importance and interest.

- ° DDCI as the approving official for issue studies.

C. Developing the plan to address the issues can be accomplished by staff studies performed by OP. These studies would combine quantitative and qualitative analysis and would present options for consideration to address the issue. By following an action agenda discussed at EXCOM, OP would have a time frame within which to present the staff study. The roles and responsibilities in developing the policy, program or plan would be as follows:

- ° OP as the developer of the staff studies with input from other sources (such as OF, EXCOM Staff, etc.) as required.

- ° PMAB as an advisory body to the Director of Personnel on the staff papers prior to their being submitted for EXCOM/DDCI consideration.

- ° EXCOM as an advisory body to the DDCI on the viability of the staff study options or recommendations.

- ° The DDCI as the approving authority.

D. In those instances where the development of specific targets or goals are indicated, these can be accomplished by OP's modeling and projection techniques. Some issues may not lend themselves to the development of specific targets but may be more appropriately monitored by such means as program evaluations, surveys or other assessment mechanisms. In all instances, specific follow-up actions would be proposed in the issue staff study. The roles and responsibilities in this phase would be between the Director of Personnel and the Deputy Directors and would be by agreement to the target or follow-up action proposed.

E. Measuring success would be by an evaluation of the progress made in addressing the issue during an agreed time frame. Normally, the time for measuring should be no less than one year. For those areas where targets have been established, OP can provide periodic statistical reporting on attainment level. Other mechanisms, such as questionnaires, personnel interviews or written surveys will need to be developed. The analysis of why success was either achieved or not achieved will be of key importance. The roles and responsibilities in measuring attainment success would be as follows.

- ° OP would provide the tools for measuring success either through statistical reporting or through the conclusions of survey mechanisms.

- ° The Deputy Directors concerned would provide the analysis as to why success was either achieved or not achieved as they would be more familiar with the factors influencing success.

F. The review by the Deputy Directors and the Director of Personnel would be in the form of recommendations regarding either continued detailed monitoring of the issue involved, changes to the policy, program or plan decided upon earlier so as to better guarantee success, or cease monitoring as the changes decided upon earlier resulted in successful attainment of the goal. The roles and responsibilities in this review phase would be as follows.

- ° OP and the Deputy Directors would provide the recommendations.

- ° EXCOM would advise the DDCI on the recommendations.

- ° The DDCI would approve the next course of action.

II. Example (devised)

A. A perception from senior management is that the resignation rate for certain categories of employees has risen. OP from statistical analysis was able to indicate that the resignation rate of personnel in certain occupations has risen during the last two calendar years. EXCOM review of

the issues resulted in the DDCI deciding that the resignation rate rise was significant enough to warrant investigation.

B. OP's staff study concluded from data analysis, exit interview reports, job market surveys and research into methods of increasing retention rates that certain means were available to alleviate the problem. These means were discussed at both a meeting of the PMAB and the EXCOM. After consideration, the DDCI approved following two means with the goal in reducing the resignation rate during the next 12 months.

C. Modeling and projections indicate that a reasonable target would be to reduce resignations by five percent during the coming calendar year. Periodic reports were provided to component managers and the DDCI.

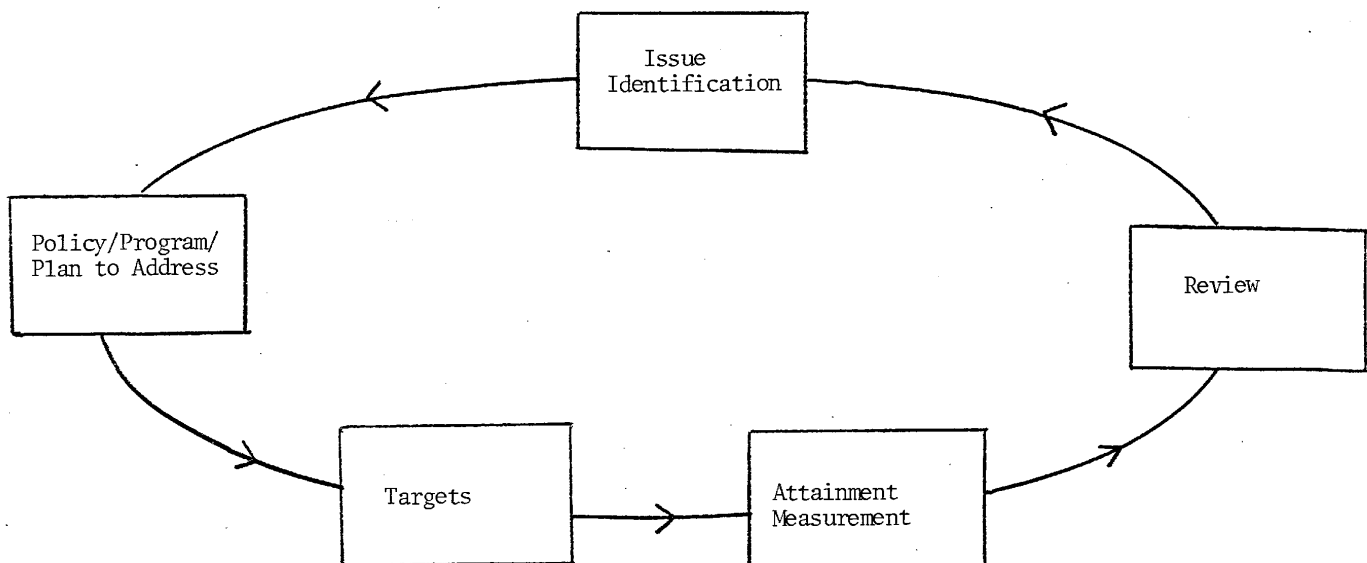
D. Statistical reporting at the end of one year indicates that the resignation rate was reduced by nearly six percent. Component analysis indicated that both means contributed equally to the increased retention rate.

E. The review recommended that retention rates in these job categories no longer be monitored as closely as in the past year but that an annual statistical summary of retention rates be provided to component managers employing individuals in these jobs. Any deviations from the norm would indicate the need for additional study. The DDCI approved this recommendation.

Personnel Planning

Phases	Roles	Means	Time Frame
Issue Identification	DDs - Identifier	Perceived Needs/Problems Senior Managers, etc.	On-going
	OP - Admin to collect, analyze and assess	Program Evaluations - OP Conclusions	On-going
	PMAB - Advisory to D/Pers EXCOM - Advisory and Prioritizing Body	Data Analysis - OP Pro- viding Indicators of Problems	On-going
	DDCI - Approving Authority	Program Call - OP Analysis of Personnel Needs Discussions - OP with Managers/Personnelists Questionnaires - Agency Sample	Three years On-going On-going
Plan to Address	OP - Developer PMAB - Advisory EXCOM - Advisory and Prioritizing Body DDCI - Approving Authority	Staff Studies Options Quantitative Qualitative	Action agenda on a prioritized basis
Develop Specific Targets	OP and DDs	Modeling - Projections	Action agenda on a prioritized basis
Measure Success	OP - Measurement Tools DDs - Analysis	OP - Statistical Reporting	<u>Minimum</u> - One year after target development
Review	DDs - Recommendation OP - Recommendation EXCOM - Advisory DDCI - Approval	D/Pers and Career Service Heads Recommendations re: Reconfirmation Additions Deletions	Action agenda

Personnel Planning Phases



ROUTING AND RECORD SHEET

SUBJECT: (Optional)

FROM:

DD/PA&E/OP
1006 Ames

EXTENSION

NO.

DATE

27 May 1981

TO: (Officer designation, room number, and building)

DATE

RECEIVED

FORWARDED

OFFICER'S INITIALS

COMMENTS (Number each comment to show from whom to whom. Draw a line across column after each comment.)

1. EA/OP
5E58 Hqs.

2.

3.

DD/OP

29 MAY 1981

4.

5.

D/OP

Not lead.

Suggest include JUN 1981

6.

not include

7.

DD/PA&E
1006 Ames

12 JUN 1981

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15.

Per our discussion of 15 May on the DDCI's personnel planning paper, Irene, Stan and I have put together the attached concept paper. I have also included the same concept in outline format. We are ready to discuss the concept at your convenience. We have a response date to the DDCI of 15 June. Also, at the 15 April EXCOM, the DDCI tasked us and the EXCOM Staff with developing a personnel planning paper. Shall we include [redacted] in our discussion?

Att

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